



**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application No.: 10/601,183  
Filing Date: June 20, 2003  
Applicant: Lacra Pavel et al.  
Group Art Unit: 3663  
Examiner: Unknown  
Title: Dynamic Optical Spectra Control Scheme for Optical Amplifier Sites  
Attorney Docket: 2676-000004/COB

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Director of the United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby submits an Information Disclosure Statement for consideration by the Examiner.

**I. LIST OF PATENTS, PUBLICATIONS, AND OTHER INFORMATION**

The patents, publications and other information requested to be considered by the Office (except unpublished U.S. patent applications) are listed on Form 1449 attached hereto.

**II. COPIES**

A. \_\_\_\_ Submitted herewith is a legible copy of (i) each U.S. patent application publication and U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; (iii) for each cited pending U.S. application, the application specification including the claims, and any drawing of the application which caused it to be listed including the claims directed to that portion; and (iv) all other information or that portion which caused it to be listed.

B.   x   Any patents, publications or other information which are listed on Form 1449 or on the copies of PTO-892, but which are not enclosed herewith, were previously cited by or submitted to the PTO in one of the following applications which has been relied upon for an earlier filing date under 35 U.S.C. § 120:

U.S. Serial Number  
09/970,930

U.S. Filing Date  
10/04/01

C.\_\_\_\_ Because the present application was/is being filed after June 30, 2003, no copies of the U.S. patents or U.S. patent application publications which are listed on the attached Form 1449 are enclosed pursuant to the waiver of 37 C.F.R. § 1.98(a)(2)(i). Any foreign patent documents or non-patent literature listed on the attached Form 1449 are enclosed herewith.

D.\_\_\_\_ This is a PCT application in the entry of the National Phase in the United States. A copy of the International Search Report is attached for the Examiner's information. The documents listed on the International Search Report are listed on the attached Form-1449 for consideration by the Examiner and for listing on any patent resulting from this application. Since the International Search Report was from the US, EPO, or JPO search authorities, copies of these references should have been supplied to the USPTO under the trilateral agreement and are believed to be in the file of the above-identified application. (MPEP 1893.03(g))

III. CONCISE EXPLANATION OF THE RELEVANCE (check at least one box)

A.\_\_\_\_ Except as may be indicated below in (B), all of the patents, publications or other information are in the English language (concise explanation not required).

B.\_\_\_\_ A concise explanation of the relevance of each patent, publication or other information listed that is not in the English language is as follows (see 37 C.F.R. § 1.98(a)(3)):

- 1.\_\_\_\_ See the attached foreign patent office communication from a counterpart foreign application:
- 2.\_\_\_\_ English translations are provided:
- 3.\_\_\_\_ Other:

C. \_\_\_\_The following additional information is provided for the Examiner's consideration.

IV. CROSS REFERENCE TO RELATED APPLICATION(S)

A.\_\_\_\_The Examiner is advised that the following co-pending application(s) contain(s) subject matter that may be related to the present application. By bringing this(these) application(s) to the Examiner's attention, Applicant(s) does(do) not waive the confidentiality provisions of 35 U.S.C. § 122.

Serial No.

Filing Date

Art Unit

V. THIS IDS IS BEING FILED UNDER

A. 37 C.F.R. § 1.97(b): (check only one box)

1.        within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d) (37 C.F.R. § 1.97(b)(1)). No fee or certification is required.
2.        within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or certification is required.
3.   x   before the mailing of a first Office Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below; or, if no certification has been made, charge our deposit account a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).
4.        before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No fee or certification is required.

B. 37 C.F.R. § 1.97(c): (check only one box)

before the mailing date of either any Final Office Action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution.

1.        No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).
2.        See the certification below. No fee is required.

C. 37 C.F.R. § 1.97(d):

after the mailing date of either a Final Office Action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, yet on or before payment of the issue fee.

1.        See the certification below. A fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e): (check only one box)

The undersigned hereby certifies that:

- A.        each item of information contained in this IDS was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS (See 37 C.F.R. §

1.97(e)(1)). See further statement under 37 C.F. R. 1.704(d) below in section VII, if applicable; or

B. \_\_\_\_ no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS (See 37 C.F.R. § 1.97(e)(2)).

C. \_\_\_\_ Some of the items of information were first cited in a communication from a foreign patent office. As to this information, the undersigned hereby certifies that each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS.

VII. STATEMENT UNDER 37 CFR 1.704(d)

The undersigned hereby states that:

\_\_\_\_ each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this IDS.

VIII. PAYMENT OF FEES (check only one box)

A. \_\_\_\_ A check in the amount of \$180.00 is enclosed for the above-identified fee.

B. \_\_\_\_ Please charge Deposit Account No. 08-0750 in the amount of \$180.00 for the above-indicated fee. A duplicate copy of this paper is attached.


The above references are being cited only in the interest of candor and without any admission that they constitute statutory prior art, contain matter which anticipates the invention, or which would render the same obvious, either singly or in combination, to a person of ordinary skill in the art. Furthermore, this Information Disclosure Statement shall not be construed as a representation that a search has been made.

If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition if necessary) and charge the appropriate fee to Deposit Account No. 08-0750.

Please charge any additional fees or credit any overpayment pursuant to 37 C.F.R. § 1.16 or § 1.17 to Deposit Account No. 08-0750.

Respectfully submitted,

Dated: 1/23/04

By:   
Timothy D. MacIntyre  
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FORM PTO-1449 (Based on Form PTO-1449)

**PATENT AND TRADEMARK OFFICE  
INFORMATION DISCLOSURE CITATION**

(Use several sheets if necessary)

Sheet 1 of 2

ATTORNEY DOCKET No.

2676-000004/COB

SERIAL No.

10/601,183

APPLICANT

Lacra Pavel et al.

FILING DATE

June 20, 2003

GROUP

3663

**U.S. PATENT DOCUMENTS**

Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date
1.		US2001/0050807	12/13/01	Deguchi et al		
2.		US2001/0050802	12/13/01	Namiki et al.		
3.		US2001/0046083	11/29/01	Akasaka et al.		
4.		US2001/0043389	11/22/01	Bonnedal et al.		
5.		6,313,940	11/06/01	Bode et al.		
6.		6,307,670	10/23/01	McNamara		
7.		6,091,539	07/18/00	Kosaka		
8.		6,078,422	06/20/00	Kosaka et al.		
9.		6,038,063	03/14/00	Tsuda et al.		
10.		5,995,274	11/30/99	Sugaya et al.		
11.		5,907,429	05/25/99	Sugata		
12.		5,852,510	12/22/98	Meli et al.		
13.		5,374,973	12/20/94	Maxham et al.		
14.		6344914 B1	02/2002	Shimojoh et al.		
15.		6359726 B1	03/2002	Onaka et al.		
16.		6421167 B1	07/2002	Cohen et al.		
17.		6411417 B1	06/2002	Roberts et al.		

Examiner:

Date Considered:

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



FORM PTO-1449 (Based on Form PTO-1449)

**PATENT AND TRADEMARK OFFICE**  
**INFORMATION DISCLOSURE CITATION**  
(Use several sheets if necessary)

Sheet 2 of 2

ATTORNEY DOCKET No.	SERIAL No.
2676-000004/COB	10/601,183
APPLICANT	
Lacra Pavel et al.	
FILING DATE	GROUP
June 20, 2003	3663

**OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)**

Ref. Desig.	Examiner's Initials	
1.		Masuda H. et al, "Ultra-wideband Optical Amplification with 3 dB bandwidth of 65 nm Using a Gain-Equalised Two-Stage Erbium-doped Fibre Amplifier and Raman Amplification", Electronics Letters, IEEE Stevenage, GB, vol. 33, no. 9., April, 1997.
2.		Hyo Sang Kim et al, "Actively Gain-Flattened Erbium-Doped Fiber Amplifier Over 35 NM BY Using All-Fiber Acoustooptic Tunable Filters", IEEE Photonics Technology Letters, IEEE Inc. New York, US, Vol. 10, no. 6, June, 1998.
3.		S.J.B. Yoo, W. Xin, L.D. Garrett, J.C. Young, G. Ellinas, J.C. Chiao, M. Rauch, J. E. Baran, B. Meagher, H. Leblanc, G.K. Chang, "Observation of Prolonged Power Transients in a Reconfigurable Multiwavelength Network and their Suppression by Gain-Clamping of Optical Amplifiers", IEEE Photonics Technology Letters, Vol. 10, No. 11, November 1998.
4.		P. Kim, S. Bae, S.J. Ahn, N. Park, "Analysis on the Channel Power Oscillation in the Closed WDM Ring Network with the Channel Power Equalizer", IEEE Photonics Technology Letters, Vol. 12, No. 10, October 2000.
5.		I. Roudas, J.L. Jackel, D.H. Richards, N. Antoniadis, J. E. Baran, "Transient Effects in Wavelength Add-Drop Multiplexer Chains", Optical Fiber Conference, OFC 1999.

Examiner:

Date Considered:

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.